

Corporation for National and Community Service

2010 Social Innovation Fund

United Way of Greater Cincinnati

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2010 Social Innovation Fund
United Way of Greater Cincinnati
Section 1 – Application

PART I - FACE SHEET

APPLICATION FOR FEDERAL ASSISTANCE		1. TYPE OF SUBMISSION: Application <input checked="" type="checkbox"/> Non-Construction															
Modified Standard Form 424 (Rev.02/07 to confirm to the Corporation's eGrants System)																	
2a. DATE SUBMITTED TO CORPORATION FOR NATIONAL AND COMMUNITY SERVICE (CNCS): 04/06/10	3. DATE RECEIVED BY STATE:	STATE APPLICATION IDENTIFIER: N/A															
2b. APPLICATION ID: 10SI114801	4. DATE RECEIVED BY FEDERAL AGENCY: 04/06/10	FEDERAL IDENTIFIER: 10SIHOH001															
5. APPLICATION INFORMATION																	
LEGAL NAME: United Way of Greater Cincinnati DUNS NUMBER: 074728577		NAME AND CONTACT INFORMATION FOR PROJECT DIRECTOR OR OTHER PERSON TO BE CONTACTED ON MATTERS INVOLVING THIS APPLICATION (give area codes): NAME: Jeff Edmondson TELEPHONE NUMBER: (513) 929-1156 FAX NUMBER: INTERNET E-MAIL ADDRESS: edmondsonj@kwfdn.org															
ADDRESS (give street address, city, state, zip code and county): 2400 Reading Road Cincinnati OH 45202 - 1458 County: Hamilton																	
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 310537502		7. TYPE OF APPLICANT: 7a. Non-Profit 7b. Community-Based Organization Local Affiliate of National Organization Volunteer Management Organization															
8. TYPE OF APPLICATION (Check appropriate box). <input checked="" type="checkbox"/> NEW <input type="checkbox"/> NEW/PREVIOUS GRANTEE <input type="checkbox"/> CONTINUATION <input type="checkbox"/> AMENDMENT If Amendment, enter appropriate letter(s) in box(es): <input type="text"/> <input type="text"/> A. AUGMENTATION B. BUDGET REVISION C. NO COST EXTENSION D. OTHER (specify below):		9. NAME OF FEDERAL AGENCY: Corporation for National and Community Service															
10a. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: 94.019 10b. TITLE: Social Innovation Fund		11.a. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Greater Cincinnati Social Innovation Fund 11.b. CNCS PROGRAM INITIATIVE (IF ANY): SIF - Geographic Multiple															
12. AREAS AFFECTED BY PROJECT (List Cities, Counties, States, etc): Cities of Cincinnati, Ohio and Covington and Newport, Kentucky																	
13. PROPOSED PROJECT: START DATE: 09/30/10 END DATE: 09/30/11		14. CONGRESSIONAL DISTRICT OF: a.Applicant <input checked="" type="checkbox"/> OH 001 b.Program															
15. ESTIMATED FUNDING: Year #: <input type="text" value="1"/>		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? <input type="checkbox"/> YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE: <input checked="" type="checkbox"/> NO. PROGRAM IS NOT COVERED BY E.O. 12372															
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td>a. FEDERAL</td> <td style="text-align: right;">\$ 2,000,000.00</td> </tr> <tr> <td>b. APPLICANT</td> <td style="text-align: right;">\$ 2,000,189.00</td> </tr> <tr> <td>c. STATE</td> <td style="text-align: right;">\$ 0.00</td> </tr> <tr> <td>d. LOCAL</td> <td style="text-align: right;">\$ 0.00</td> </tr> <tr> <td>e. OTHER</td> <td style="text-align: right;">\$ 0.00</td> </tr> <tr> <td>f. PROGRAM INCOME</td> <td style="text-align: right;">\$ 0.00</td> </tr> <tr> <td>g. TOTAL</td> <td style="text-align: right;">\$ 4,000,189.00</td> </tr> </table>		a. FEDERAL	\$ 2,000,000.00	b. APPLICANT	\$ 2,000,189.00	c. STATE	\$ 0.00	d. LOCAL	\$ 0.00	e. OTHER	\$ 0.00	f. PROGRAM INCOME	\$ 0.00	g. TOTAL	\$ 4,000,189.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> YES if "Yes," attach an explanation. <input checked="" type="checkbox"/> NO	
a. FEDERAL	\$ 2,000,000.00																
b. APPLICANT	\$ 2,000,189.00																
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f. PROGRAM INCOME	\$ 0.00																
g. TOTAL	\$ 4,000,189.00																
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.																	
a. TYPED NAME OF AUTHORIZED REPRESENTATIVE: Michael L. Baker		b. TITLE: Senior Associate															
		c. TELEPHONE NUMBER: (513) 762-7208															
d. SIGNATURE OF AUTHORIZED REPRESENTATIVE:		e. DATE SIGNED: 06/30/10															

Narratives

Executive Summary

Title: United Way of Greater Cincinnati

Summary Information:

Lead intermediary and eligible partners:

United Way of Greater Cincinnati (Strive Partnership, Greater Cincinnati Foundation, Carol Ann and Ralph V. Haile/U.S. Bank Foundation)

Competencies of key partners:

United Way of Greater Cincinnati (grantmaking expertise, grants management, fiscal management)

Strive (Program management, continuous improvement, capacity building)

Greater Cincinnati Foundation (grantmaking expertise)

Carol Ann and Ralph V. Haile, Jr./U.S. Bank Foundation (grantmaking expertise)

INNOVATIONS (evaluation)

Institute for Nonprofit Capacity (capacity building)

The project is a geographically-based SIF (youth development and economic opportunity) (Cincinnati, OH and Covington and Newport, KY)

The partnership is requesting \$1,000,000 per year for a five year project period.

The partnership is not applying with any pre-selected organizations.

Program Design:

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Since 2006 the Greater Cincinnati Community has been working together through the Strive Partnership to identify and address key community issues facing children and young adults. The Strive Partnership brings together collaboratives of organizations providing similar services to use data to identify strategies that help children and young adults achieve strategies. Through a unique partnership between the community's corporate, social service, philanthropic and educational sectors, the Strive Partnership has adapted the use of the Six Sigma process improvement framework to help nonprofit collaboratives focus on continuous improvement.

The Greater Cincinnati Social Innovation Fund project is designed to drive this work to a program level to identify and support a diverse group of subgrantees who are innovative and effective in creating positive community change in the issue areas of youth development and economic opportunity. The SIF grant will allow the partners to run a competitive subgrant process to identify organizations that have evidence of effectively using strategies to improve community conditions. Subgrants will be used to build evidence of effectiveness and allow organizations to replicate and expand their effective programs. Subgrants will be used to invest in evaluation for programs at a preliminary or moderate level of evidence. In addition, the partners will engage an evaluation expert from the community to provide technical assistance to subgrantees. The focus on data will be driven through the use of the Six Sigma process improvement approach that has been adapted from the corporate sector.

Organizational Capacity:

United Way's net assets for 2009 = \$29,253,100

United Way's annual grants budget = \$48,301,800

United Way staff = 104

Cost-Effectiveness and Budget Adequacy

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The project proposes to subgrant \$820,000 in federal funds which represents 82% of requested funds.

The partners are providing a 1:1 match

The partners currently have commitments for \$528,000 in match. Sources that exceed 20% of this commitment:

The P&G Fund (Procter and Gamble) - \$200,000

The Greater Cincinnati Foundation - \$108,000

The proposed budget is aligned with the program design as \$1,700,000 of the \$2,000,000 budget will directly support innovative community programs through the competitive subgrant process. \$170,000 of the program budget will be used to contract with evaluation experts and technical assistance providers to support the subgrantees in increasing evidence of effectiveness and replicating and expanding their programs.

Another \$80,000 will be used to hire a project director to increase the capacity of the partners to coordinate the program and deliver TA services to subgrantees. A minimal amount of federal funds (\$10,000) will be used to support training and technical assistance through supplies and increasing the partners' capacity by traveling to national SIF meetings and participating in learning circles.

A considerable amount of local resources including partner staff time will be put towards supporting the project. These are not accounted for in the budget (not eligible under SIF definition for cash match), but these in-kind resources allow for the cost-effectiveness of the program.

Overall, 92.5% of total project funds will go to subgrantees as subgrant funding or resources to increase

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their capacity. The remaining funds will be used to support the implementation and administration of the program.

Program Design

A. Goals and Objectives

The Greater Cincinnati Social Innovation Fund will focus on improving outcomes in low income communities in the issues areas of Youth Development and School Support and Economic Opportunity. Geographically, the program will serve low income communities in the urban core of Greater Cincinnati made up of the cities of Cincinnati, Ohio and Covington and Newport, Kentucky. These three cities have the highest percentage of poverty in the region. Cincinnati has a poverty rate of 25.7% for all people and 40.3% for children under 18. Covington's poverty rate is 23.2% for all people and 36.3% for children under 18. Newport's poverty rate is 22.3% for all people and 31.1% for children under 18. Cincinnati and Covington's rates are based on 2006-2008 American Community Survey 3-Year Estimates and Newport's is from the 2000 Census.

When the Strive Partnership launched in 2006, it committed to providing the community with regular updates on collective progress in supporting children from cradle to career. The Strive Partnership is led by an executive committee that represents the community's largest philanthropic, corporate, educational, civic and nonprofit leaders, including University of Cincinnati, Cincinnati Public Schools, Procter & Gamble, Fifth Third Bank, Greater Cincinnati Foundation and United Way of Greater Cincinnati. In 2008, the Strive Partnership launched an annual report card that provides a snapshot of the community's efforts and progress towards its goals. The Striving Together: Report Card (<http://www.strivetgether.org/documents/ReportCard/2009StriveReportCard.pdf>) lays out youth development and education data for Cincinnati, Covington and Newport. It focuses on agreed upon community priority outcomes and the community's current level of achievement. The 2009 Report Card also introduced trends and benchmarks where available. It is a good snapshot of the region's educational and youth challenges and opportunities.

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The report card shows that 48%, 71% and 62% of children entering Cincinnati, Covington and Newport schools, respectively, are assessed ready for kindergarten. Fourth grade reading rates vary from 60% in Cincinnati to 54% in Covington and 58% in Newport. In the two Northern Kentucky school districts less than 50% of children go on to enroll in college, while 60% of Cincinnati students enroll. The report card also looks at how youth are supported outside of schools by introducing measures that are not academically focused. The Strive Partnership Report Card enjoys a companion status with other community data reports such as United Way's State of the Community Report (<http://www.crc.uc.edu/publications/index.cfm>). The State of the Community Report focuses on other community measures that demonstrate challenges. One of these is a persistently high Infant Mortality Rate in Hamilton County, which in 2005 was 13.9 deaths per 1,000 live births, double the national rate. These community reports also look at health and economic opportunities and together help to drive the community's shared focus on priority issues.

Over the past five years the Greater Cincinnati region's nonprofit, corporate, and educational leaders have made great strides in achieving alignment of systems to ensure better outcomes for youth and young adults. One effort highlights this movement towards greater alignment -- The Strive Partnership. The Strive Partnership is focused on identifying the strategies that will have the greatest impact and ensuring those actions that get results are expanded to serve as many students as possible. Through a unique partnership of the education, business, nonprofit, community, civic and philanthropic sectors, The Strive Partnership has:

- * Established a coordinated decision making and governance structure to ensure data drives and sustains education improvement efforts in the urban core of Greater Cincinnati.
- * Convened networks of education and related service providers around critical strategies to improve student outcomes such as early childhood, arts education, tutoring, mentoring, child health, service learning, after-school programming and college access.
- * Contributed to improving student outcomes by driving evidence-based interventions that support

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student success inside and outside the formal education systems.

The Strive Partnership incorporates and connects to existing efforts in the community including the United Way of Greater Cincinnati's movement to adopt the Agenda for Community Impact and the creation of the Greater Cincinnati Workforce Network.

In 2005, United Way of Greater Cincinnati adopted the Agenda for Community Impact, a high level plan that creates focus for United Way's work and community investments. In adopting this plan, United Way set three priority outcomes for its work: children entering kindergarten prepared to succeed, children achieving academic success and developing strong life skills, and families achieving financial stability. These three outcomes serve as a key decision-making framework for United Way. Prior to 2005, the strategic framework for investing those funds was based on supporting programs that were only required to show they were quality in terms of producing outcomes. There was little alignment among the 300+ programs being funded by United Way. The Agenda for Community Impact changed United Way's investment philosophy. Rather than responding to community nonprofits, United Way worked with the agencies to determine high-level needs in the community. It then asked those same organizations, and others, to submit proposals based on how they would help our community meet those goals. For example, United Way set a goal to increase the number of children prepared for kindergarten. Programs serving young children must demonstrate how they directly contribute to this goal and must provide evidence of effectiveness to receive funding. This shift in funding has allowed United Way to play a more active leading role in areas of early childhood and financial stability, while also determining its supporting role in school-age youth development. It makes partnering and alignment more achievable in the community.

The Greater Cincinnati Workforce Network (GCWN) works to align job training and support systems along a dual customer focused aimed at meeting the employment needs of both un- and underemployed individuals and key employers in the community. One of the core strategies is the creation and expansion of career pathways models that identify industries that allow employees to receive training for

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entry level positions but have a clear pathway to promotion through additional training and supports. This pathway model has evidence of impact in the health sector and is being replicated in other industries. At the same time, GCWN is working to identify job readiness and job training programs that show evidence of effectiveness in providing key pre-employment, adult education, and job readiness skills.

The Strive Partnership serves as a link between the strong early childhood efforts led by United Way and the career pathways strategies being supported by GCWN. Strive and its community partner have created the Cradle to Career Roadmap

http://www.strivetogether.org/documents/roadmap_bibliography.pdf. The Roadmap traces how the Greater Cincinnati community supports children from birth through school and into their careers. It identifies critical transition periods in a child's life, key strategies that promote success, and creates a framework for identifying the region's strengths and challenges in supporting its youth. It connects community efforts along this continuum and has allowed community partners to expand effective programming (early childhood and career pathways) while also focusing on building the effectiveness of programs that do not yet have strong evidence.

The Strive Partnership Roadmap also serves as the basis for the Greater Cincinnati Social Innovation Fund. As major community partners have agreed upon youth development and economic opportunity as issue areas for community partnership they have also identified key community outcomes that fall into the framework of Ready for School, Ready for College and Ready for Life. To advance local community improvement efforts, the project will implement the Social Innovation Fund to focus primarily on key measurable outcomes tracked in either the Strive Report Card or State of the Community report:

Ready for School

- * Increase in the percentage of children assessed ready for school in the area of pre-literacy skills
- * Increase in the percentage of children assessed ready for school in the area of social and emotional

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development

Ready for College

- * Increase in percentage of children scoring at or above state minimums on standardized tests
- * Increase in high school graduation rates
- * Increase in performance on the ACT
- * Increase in percentage of youth who enroll in college or career training

Ready for Life

- * Increase in youth health indicators (such as oral health, mental health and immunization rates)
- * Increase in school attendance
- * Increase in the number of hours youth spend engaged in their community
- * Increase in the number of individuals gaining and sustaining employment

Focus on specific strategies -- The partners have been working together over the last three years to help build the capacity of networks working on similar strategies. The SIF provides a strong opportunity to continue this work while also highlighting, strengthening and replicating the work of individual programs in those networks. For this reason, the Greater Cincinnati Social Innovation Fund will focus its subgrants on programs that can demonstrate evidence of effectiveness in improving one of the selected priority measureable outcomes but will also focus on programs that are using one of the priority Strive strategies. These priority strategies include early childhood education and home visitation, mentoring, service learning, arts education, dropout recovery, children's health, college access, and career pathways.

B. Use of Evidence

The Strive Partnership's primary focus is to increase the use of data to drive decision making and continuous improvement. To do this Strive brings together networks of organizations and programs who are working on the same strategies, such as early childhood, tutoring, and mentoring. These networks look at primary strategies and available data to determine which strategies are demonstrating

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impact. Networks are asked to identify specific goals and objectives and determine how effective their strategies are in achieving those goals. Specifically, the networks determine their level of impact, the level of evidence and the degree to which they can trust the data. In many instances, networks have identified necessary data that is not currently available and developed plans to access or create data to show effectiveness.

As the Strive Partnership began to explore models for promoting data driven decision making and continuous improvement, it started conversations with local corporate leaders who were using processes to improve their business. One model that had particularly strong local corporate backing was the Six Sigma model employed by GE Aviation, headquartered in Cincinnati. Strive Partnership staff and volunteers worked to adapt the Six Sigma process to be used to drive continuous improvement within the social sector. The adapted framework focuses process improvement efforts around five areas: Define, Measure, Analyze, Improve, and Continuously Improve. This version of Six Sigma calls on organizations and networks of service providers to define what they want to achieve; look at data to see how well they are doing and how well they could be doing; look at strategies that should drive improvement; measure whether those strategies are actually driving improvement; and use data over time to drive program improvements and enhancements. Each network engaged in the Strive Partnership has been required to develop an action plan that guides continuous improvement and the Strive Partnership supports this by providing volunteer process improvement experts (Six Sigma Blackbelts) from GE Aviation to train and coach groups through the process. The action plans are submitted for approval and endorsement. An initial level of endorsement signifies that networks have used data to measure how well they are currently working towards goals. A second level of endorsement signifies that the action plan clearly shows how programs will be improved and use data to continuously improve. The Six Sigma planning process has been important in the community in allowing groups of organizations to determine common outcome measures they will share and to determine what data exists that can measure impact and what data needs to be created. In several instances, networks have

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implemented evaluation or data collection strategies to better provide a better correlation between their strategies and impact in the community.

One example of how these networks have worked is the early childhood network led by United Way's Success By 6. This network has primarily focused on two strategies: quality early care and education and home visitation programs. The network convened providers of these services to determine if the strategies had a proven correlation with kindergarten readiness as measured by the KRA-L -- the Kindergarten Readiness Assessment-Literacy, a state-mandated kindergarten entry assessment that guides instruction for children's pre-literacy skills. To do this Success By 6 led its partners through the Six Sigma continuous improvement planning process. In Cincinnati, they DEFINED the problem as only 44% of children were entering kindergarten prepared to succeed. They looked at the scope of the problem as being primarily focused on reaching 3 to 5 year olds who would enter CPS schools. They set an objective and determined what MEASURE (the KRA-L) would help them gauge the level of current success. They ANALYZED existing data to determine which strategies showed evidence of effectiveness. Created a plan that would IMPROVE the level of impact by expanding and replicating existing effective programs. And then set a plan for how they would CONTINUOUSLY IMPROVE by continuously analyzing data and implementing course corrections on the improvement plan. A visual diagram depicting these steps can be found at <http://docs.google.com/fileview?id=oBxifJwqZWUm3OTk5ZDQyNGItMDU1MiooNzU5LThiZWItMThlMDBiNGI2ZDQx&hl=en> . In the case of quality child care, the network found a strong correlation between children attending programs where teachers had higher education levels (bachelor degrees or higher) and being assessed ready for kindergarten in terms of pre-literacy skills. The correlation between home visitation programs and higher KRA-L scores could not be determined because of a lack of available data. An evaluation plan was launched to help build the availability of data that could determine the strength of correlation.

While the work of the networks has been primarily focused on shared strategies, it has also guided the

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Strive partners to make funding decisions to support specific programs showing strong impact. As the early childhood network was building its continuous improvement plan, United Way was also planning to undertake a fundraising effort to increase the availability of funds that could be invested in effective and innovative early childhood programs throughout the region. This effort, called Winning Beginnings, has acted as a social innovation fund. As the network looked to identify strategies that were working and built the evidence base for home visitation and quality child care, Winning Beginnings made investments in the data infrastructure and also identified programs with strong impact for expansion and replication. Two investments from Winning Beginnings exemplify United Way and the Strive Partnership's focus on evidence. The first is the early childhood data system. One of the lessons learned from the Six Sigma planning process was that not all desired data was readily available. In particular, the community lacked a vehicle for creating longitudinal studies that could track children through a variety of early childhood systems. Success By 6 convened partners with many different data sets and worked to create the early childhood data system. In Cincinnati, this system assigns children public school identification numbers to children when they enter child care at a participating center or enter one of the community's home visitation programs. As long as the child is enrolled in one of these programs, their early childhood assessments can be attached to the interventions and programs they received and ultimately be attached back to kindergarten readiness assessments, 4th grade literacy and math assessments, high school graduation, ACT scores and any other assessments attached to the system. This will allow for more relevant data collection and ultimately show early childhood program impact on a number of other key indicators and community outcomes. It will also allow local funders to identify strong programs for replication and expansion.

The other example of evidence of effectiveness playing a strong role in determining how Winning Beginnings funds are invested is the Books in Action program of Cincinnati Public Schools early childhood department. Books in Action improves pre-literacy skills through focus on books with social and emotional development content. The program has strong play and arts components that

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incorporate books. The program was started in 2002 as a pilot funded through United Way. The pilot was launched with an experimental evaluation. Three Cincinnati Public Schools' preschool classrooms received the Books in Action program and three classrooms with similar demographics served as a control group. The pilot ran for four years and was extended to a fifth. United Way invested \$100,000 per year into the program which supported the program's complete costs for materials, evaluation, training and project management. The pilot ultimately grew to serve five classrooms. After five years of demonstrated strong impact, United Way increased its investment to \$220,000 allowing the program to expand to a total of 24 classrooms. In 2010, United Way increased its investment to \$325,000 allowing the program to serve 35 classrooms.

In each incidence, evidence of effectiveness was the basis for increased investment. Under the SIF definitions of evidence of effectiveness, the Books in Action program was able to demonstrate strong evidence of strong impact. Once Ohio implemented the KRA-L assessment, CPS was able to use its experimental design to compare performance on the KRA-L between Books in Action classrooms and control groups. Those findings showed a strong correlation between higher KRA-L scores and Books in Action. Those findings exhibited a positive trend for the pilot period of the grant. For all children entering kindergarten at CPS schools in 2009 the average KRA-L score was 18.9. The average score for children from Books in Action classrooms was 21.23. The total for all children includes children who attended preschool and those who did not. Compared to children who attended some form of preschool, the Books in Action scores were again higher (19.9 to 21.23). This is especially impressive when the demographics of children in each group are compared. The Books in Action program serves a substantially larger percentage of children eligible for free and reduced lunch than preschool programs in general. Through six years of KRA-L analysis for CPS schools the number one predictor of performance on the assessment is poverty -- children from families in poverty score lower than children from other income levels. Books in Action students, regardless of income score better than those who do not receive the program, even children from families with higher incomes. These findings merited

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the substantial increase in funding from United Way to expand the program from 5 to 35 classrooms. The evaluation of Books in Action also led to United Way partnering with CPS to enhance the program with a Summer Bridge component. Children in CPS preschool follow the school year, meaning that children in Books in Action face the same summer lag between preschool and kindergarten. In essence this means that the KRA-L assessment is given nearly six months after the programming has ended, which allows for a loss of skill and learning. CPS proposed to United Way to build a summer component to the Books in Action program that would allow for a continued pre-literacy focus through the summer months. Children enrolled in Books in Action and the Summer Program receive an ongoing assessment through a nationally-normed, standardized assessment called Brackens. Brackens has a strong correlation and predictive relationship with the KRA-L. Through a pilot of the summer bridge program, CPS has demonstrated a correlative value of .67 between Brackens and KRA-L, a high level of correlation showing that children who receive Books in Action programming including the summer bridge are much more likely to assess higher on the KRA-L. Based on these findings, United Way invested Winning Beginnings funds to expand the scope of the Summer Bridge programs to additional Books in Action classrooms.

Not every program funded by United Way can demonstrate the same level of impact as Books in Action, but every program is required to demonstrate some level of evidence of its impact. United Way funding decisions are based on three criteria: impact, alignment and accountability. Programs must demonstrate impact, must show how their outcomes will help United Way move the needle on community level indicators in priority issues, and must demonstrate strong levels of organizational accountability. A similar framework will be implemented in support of SIF project. The goal of the subgranting process will be not just to identify and fund quality programs but to identify and fund quality programs that are creating community improvements on aligned outcome measures.

United Way currently makes three year funding commitments. United Way and community agencies negotiate a level of acceptable outcomes based on funding. Organizations receiving funding must

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submit regular reports on progress towards those outcomes and must show evidence of their impact (whether they can demonstrate programs directly influenced outcomes). Organizations that face conditions that may affect outcomes report those conditions to United Way and can renegotiate outcome levels. In cases where programs fall below expectations for performance on impact, United Way provides training and technical assistance to improve evaluation or makes referrals for training to improve performance. United Way uses past performance and demonstration of effectiveness in making new commitments to agencies. As an example, as United Way moved from its 2007-09 funding cycle to its 2010-12 funding cycle, 10 programs did not receive funding based on past poor performance or an inability to demonstrate effectiveness. Many programs received adjustments to funding, up and down, based on evidence. This history and expertise in funding for impact will serve the project to determine how to select strong programs for investment and monitor the partners' investment in those programs.

D. Description of Activities

1. Subgranting -- The Greater Cincinnati Social Innovation Fund competitive subgrant program is designed to meet three goals: 1) to identify and support a diverse portfolio of programs that can demonstrate their effectiveness in creating impact in the selected issue areas, 2) to promote data and evidence of effectiveness among community programs and 3) to build the capacity of community funders to use evidence of effectiveness as the basis for funding programs.

Focusing on those goals the subgrant process will have five stages: Announcement, Training for potential applicants, Application, Review and Awards.

Announcement of availability of funding -- To ensure a full range of potential applicants are aware of the availability of funding the collaborative partners in the project will disseminate a notice of funding to their network of previous grantees. This will include United Way funded agencies, members of Strive student success networks, and current and previous grantees of the Greater Cincinnati Foundation, Haile/U.S. Bank Foundation and other local private and corporate foundation. To reach organizations who are potentially outside of this network the notice will also be published in the Cincinnati Enquirer

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and the Cincinnati Herald (a weekly Cincinnati publication focused on the African American community), and put on the websites of all partner organizations. United Way will also issue press release announcing availability of funding to all major media outlets in the region. The notice will lay out the geographical focus area of the grant, the issue areas that programs must be working in, and the outcome measure organizations must propose to affect. It will also define general requirements for participating, including eligibility information and match requirements.

As stated earlier, the project partners are also committed to supporting programs that can show evidence of effectiveness for programs in broad strategy areas. These broad strategy areas will serve as an additional guidance in making funding decisions and that guidance will be communicated to all subgrant applications. For example, while the subgrant process will review a submission from any program that is able to demonstrate its effectiveness in improving a child's ACT score, reviewers will give preference to programs that have effectiveness using one of the preferred strategies (ex., mentoring or dropout recovery). This ensures that the SIF funding will fit with existing community efforts and that buy in from all partners will remain strong throughout the grant period. To ensure the competition is open to the broadest range of organizations, the partners will not limit eligibility to organizations currently engaged in one of Strive's student success networks. However, as will be discussed in the technical assistance section, any program that receives a subgrant will be expected to participate in a student success network in the future as part of its agreement to receive a subgrant from the partners.

Training for Potential Applicants -- While the goal of the announcement of funding is to ensure a full range of applicants are aware of the funding, we also want to be sure that applicants understand the need for focusing on evidence of effectiveness. To accomplish this, the partners will conduct group training for all interested applicants. This training will be mandatory for application and will be conducted several times to ensure all interested organizations can attend. This training will provide a basic overview of the Six Sigma planning process; the application for subgrants, including how the applications will be scored; and a focus on how organizations should demonstrate evidence of program

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effectiveness. The training will define Strong Impact, Strong Evidence, Moderate Evidence and Preliminary Evidence and will provide guidance on how the Six Sigma framework should be used to communicate this evidence. At the end of this required training, all potential applicants will understand how to apply for funding, how to demonstrate effectiveness in their application, the requirements for participating in the Social Innovation Fund program, and the basic components of the Six Sigma process that will guide the application.

Application -- The application will be designed by adapting the Six Sigma continuous improvement plan and United Way's request for proposal. The Six Sigma plan asks programs to focus on:

- * **DEFINE** exactly what you want to do and how you want to do it.
 - o What problem are you trying to solve?
 - o What are the specific goals and objectives?
- * **MEASURE** what improvement need to occur to achieve your goal.
 - o How good are you today? How do you measure this?
 - o How good do you need to be? What do you measure to determine this?
 - o Can you trust available data?
- * **ANALYZE** factors that determine outcomes.
 - o What does the data tell you?
 - o What lessons can be drawn to improve efforts to improve outcomes?
- * **IMPROVE** current practices by aligning existing resources.
 - o What is the action plan that draws lessons learned from the data?
 - o How are existing and new resources being leveraged and aligned and effectively serve children?
- * **CONTINUOUSLY IMPROVE**
 - o How will data be used over time to continuously improve the action plan over time?

We expect that organizations with strong evidence of effectiveness will be able to completely address each of these issues, while organizations that are not as far on the evidence spectrum will likely be

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stronger in the Define, Measure and Analyze areas. They may need more technical assistance in the Improve and Continuously Improve area.

These basic components to the Six Sigma plan will be used as a guide in developing the proposal. It will lay out for applicants what information needs to be provided. In terms of specific requests for investment, applicants will be asked to propose whether funds will be used to expand or replicate a program, build evidence of effectiveness for an existing program, or a combination of the two. Subgrant funds for program expansion or replication only project will be limited to programs that are able to show moderate and strong evidence of effectiveness. Programs that only show preliminary evidence will be required to propose some level of activity that will build their evidence base. The Six Sigma framework (Define/Measure/Analyze/Improve/Continuously Improve) will allow the partners to identify and invest in quality programs while also setting the stage for subgrantees to build their continuous improvement plans.

In addition to basic program, evidence and project information, each organization applying for a subgrant will be required to provide basic information required on United Way's call for investment request for proposal. This includes information that demonstrates organizational capacity, history of strong relationships and collaboration with other community partners, financial management experience, and track record of using data and evaluation for performance and program improvement. Review -- The review of subgrants proposal will follow three stages. The first stage of review will occur using staff from the Strive Partnership executive committee organizations and additional community volunteers recruited for their expertise in data and evaluation. The reviewers will include representatives from the Strive Partnership, United Way, Greater Cincinnati Foundation and other grantmaking partners, as well as representatives from other community partners, such as University of Cincinnati, Xavier University, Northern Kentucky University, the three urban school districts, and corporate partners including Procter and Gamble, Cincinnati Bell and Fifth Third Bank.

This initial review panel will score each application based on the agreed upon scoring system and carry

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recommendations forward to the Strive Partnership steering committee to endorse subgrant decisions.

A final sign off will be required from the grant collaborative.

Awards -- After supporting organizations in competing in the subgrant process and reviewing proposals, the partners will make the subgrant awards. Grants will range from \$100,000 to \$200,000 annually for a period of 3-5 years, depending on the project proposed by the subgrantees. The partners have committed to subgrant \$1,700,000 through this process and expect to have 10 to 15 subgrantees.

This subgrant process will lead to a high degree of effectiveness because the training and technical assistance provided in the pre-award time period will ensure that potential subgrantees have a high understanding of the requirements of participating in the Social Innovation Fund and will have increased capacity in using data to communicate effectiveness. This will allow partners to make more informed funding decisions for subgrants. The process should also increase competitiveness among potential subgrantees. By raising capacity to communicate effectiveness, organizations that have not traditionally participated with the funders in the past will be able to compete with organizations that routinely receive funding from funding partners. This will allow for stronger competition for all potential subgrantees and level the playing field for potentially innovative programs and organizations.

2. Technical Assistance -- Technical assistance for subgrantees will focus on five areas:

- * Supporting subgrantees in building their evidence of effectiveness
- * Supporting subgrantees in using data to drive continuous improvement
- * Supporting subgrantees in sharing and integrating lessons from evaluation with other organizations carrying out similar strategies in the community
- * Supporting subgrantees in expanding or replicating their programs (when applicable)
- * Supporting subgrantees general organizational capacity.

All organizations selected to receive a subgrant will be expected to participate in a three day training session on the Six Sigma process improvement framework. This training will be conducted by Northern Kentucky University's Institute for Nonprofit Capacity and Six Sigma experts from GE Aviation. The

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program will serve as the basis for building the organization's capacity to design and implement a process improvement plan for their particular subgranted program. It will get all subgrantees on the same page in terms of the vocabulary and process of the Six Sigma framework. As the subgrantees move forward in creating their Six Sigma process improvement plans the partners will provide coaches to them who can answer technical questions about the process and provide advice in creating and executing the plans. These coaches will come from GE Aviation (focusing their expertise on the process itself) and INNOVATIONS (focusing their expertise on data and evaluation of social services).

INNOVATIONS in Community Research is a community-collaborative program through which clinical psychologists from Cincinnati Children's Hospital Medical Center work with community groups and non-profit agencies to enhance outcomes for underserved children, adolescents, and families in the Cincinnati Community. INNOVATIONS team members are proficient in qualitative and quantitative research design and methods, including survey development and focus group conduct, program evaluation, and refinement, including implementing relationship- and developmentally-based models of care, and cultural competence training. INNOVATIONS has a long history of collaboration with the grant partners and has served as primary evaluator for a number of community efforts, including the Books in Action program described earlier. INNOVATIONS works closely with Strive student success networks to collect and analyze data and plan continuous improvement efforts.

For those subgrantees that proposed to build evidence of effectiveness, one of the keys areas that coaching will support will be to design future evaluation efforts. INNOVATIONS will play a key role in helping each subgrantee analyze current data to see where improvements could be focused, but also to see if all desirable data is available to the organization for its use. As an example, when Strive's early childhood student success network was trying to show the link between home visitation programs and KRA-L scores, it became clear that while the programs had strong evidence that their programs were promoting appropriate cognitive, social and emotional, and physical development for children, there was a lack of data that could directly link their programs to higher KRA-L scores. Service providers,

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Strive partners and INNOVATIONS worked to design a vehicle for conducting a longitudinal study that could provide the data necessary to create this link.

One area where the partners expect to need to focus some support is in helping programs providing out-of-schools support and programming to students (such as tutoring and mentoring) to be able to better connect back to measurable academic outcomes. Each organization will receive training and individualized technical assistance on implementing the Six Sigma process. All subgrantees will have on-call coaches available to them for Six Sigma, evaluation, and data analysis.

In addition to the technical assistance on process and data, the partners will engage all subgrantees in a Social Innovation network. This network will convene all subgrantees to share lessons learned in implementing their Six Sigma, evaluation and replication efforts. The local partners have found it productive to bring organizations together to share lessons learned through their existing program and evaluation. While subgrantees will likely be providing different types of programming, they will be undergoing similar efforts to increase evidence of effectiveness or expand/replicate programming. By convening them on a monthly basis, the partners can provide a platform for grantees to share their challenges and successes and support one another through mutual experience. These meetings of this new network of subgrantees will be facilitated by the project director and will provide opportunity to increase understanding of the expectations placed on subgrantees under this program, to respond to their questions and concerns, to coordinate training and technical assistance, and to course correct the project administration based on subgrantee feedback.

In addition, to ensure that the SIF has a proper fit in supporting existing community efforts, each subgrantee will also be expected to participate in the student success network that matches their strategies. For example, any subgrantee providing tutoring services will be expected to participate in the tutoring student success network. This critical on a local level to ensure that programs selected through the subgrant process are held up as examples of programs that should be replicated and expanded. It will be important for organizations not currently at those same levels to see how

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subgrantees are designing evaluation and planning expansion and replication efforts. The SIF provides an opportunity to identify and reward high-impact organizations and programs with additional support and resources. We believe that will serve as a motivation to improve for organizations not selected as subgrantees and that they can gain from hearing about the experience from subgrantees. This will also build capacity in the subgrantees in communicating their success and defining and describing their evaluation and replication plans to organizations doing similar work.

For subgrantees who have strong evidence of impact and whose subgrant applications warrant replication or expansion, the project will provide additional supports. Particularly, the Strive partners will work with these subgrantees to determine the best course for replication and/or expansion, such as serving more children in current locations or replicating the program in other neighborhoods or areas of the Greater Cincinnati region. The partners will provide support to subgrantees in analyzing community data to see where replication might produce similar impact, but also facilitating relationships with community organizations and leaders who can support the expansion or replication efforts.

Finally, the subgrantees will receive technical assistance in building overall organizational capacity. To do this the partners will engage Northern Kentucky University's Institute for Nonprofit Capacity (INC) to develop an organizational capacity building plan with each of the subgrantees. Each subgrantee will conduct an organizational self assessment and create a capacity building plan based on their particular challenges. INC will work with the subgrantees to identify particular trainings to support those efforts, but will also identify opportunities for the subgrantees to receive one-on-one technical assistance to improve particular areas. For example, organizations that identify fundraising as a challenge may be directed to attend local fundraising trainings and receive ongoing coaching from fundraising consultants.

Organizational Capacity

A. Ability to Provide Program Oversight

The Greater Cincinnati Social Innovation Fund is being managed through a partnership of United Way

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of Greater Cincinnati, The Greater Cincinnati Foundation, the Carol Ann and Ralph V. Haile, Jr./U.S. Bank Foundation and the Strive Partnership with a collaboration of additional community grantmakers and other organizations. The project will draw on the key competencies of each organization.

Description of Fiscal Manager - United Way of Greater Cincinnati has served the Cincinnati region for 95 years. As part of its traditional role in the community, United Way runs an annual campaign that engages more than 100,000 individuals, corporations and foundations in supporting the community. In the past, United Way traditionally raised money to invest in community agencies based on the agency's sound management and fiscal policies. As part of a national trend toward greater accountability for its investments, United Way began in 1995 to focus its investments on community programs rather than general support for agencies. This change meant that agencies receiving funding were required to show how the programs being funded by United Way were producing positive results. Initially this focused on agencies reporting outputs of their programs (i.e., the number of people being served and the number of services provided). Over time this developed into a strong focus on program impact and outcomes. During this change, United Way significantly increased its staff and volunteer capacity to measure outcomes of community programs and to identify programs that were having positive impact. United Way began to conduct trainings and technical assistance for its agency partners to increase capacity to measure outcomes and to describe their program goals through use of logic models. As previously stated, another major shift in United Way's transformation occurred in 2005 with the adoption of the Agenda for Community Impact. The Agenda created a community level plan for achieving a few set priority outcomes. This affected United Way's funding in that programs must now show not only how they are achieving positive impact but how they are also contributing to these community priority outcomes. The evaluation of programs now encompasses three areas: impact (how effective a program is), alignment (how it contributes to a shared priority outcome) and accountability (how well the program and organization is run).

The Agenda for Community Impact clearly directs United Way's focus on the two impact areas selected

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for the Social Innovation Fund. They are the primary areas for United Ways funding and community initiative work.

This transformation has increased United Ways accountability and allows stakeholders to better understand the goals of the organization. United Way currently raises more than \$62,000,000 annually through its campaign and manages more than \$50,000,000 in community investments, programs and initiatives. One example of the impact of these changes has been that kindergarten readiness rates in Cincinnati Public School has increased 9% in the last four years, corresponding with major shifts in United Way's priorities to focus on kindergarten readiness and shifts in funding to reflect that priority. In addition to providing financial management for the \$62,000,000 campaign and overseeing community investments, United Way has secured \$4.6 million in federal grants over the last five years. This includes two Early Learning Opportunity Act grants from the Department of Health and Human Services, a Parental Information and Resource Center grant from the Department of Education and a Volunteers Income Tax Assistance program grant from the Internal Revenue Service. United Way routinely has a clean audit including its A-133 audit required because of its large amount of federal funding. United Way recently received a site visit from the IRS for the VITA grant in which the IRS had no actionable items for United Way.

Financially and fiscally, United Way's primary role is to be a good steward of community and public resources. United Way has a strong system of checks and balances in place to ensure that funding subgranted to community agencies is being spent appropriately. The process put in place include regular collection of agency audits and financial statements, site visits, year-end and intermediate reporting of progress towards impact goals, volunteer oversight, training, technical assistance and all agencies must submit anti-terrorism documentation. In cases where questions are raised through any of these reporting vehicles, United Way staff and volunteers engaged in direct conversation with agency directors and their volunteer board chairs to determine what corrective actions need to be in place. United Way is constantly improving its policies and procedures to better serve its agency partners and

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be better stewards of community and public dollars.

Description of Lead Program Partner -- Since 2006, the Strive Partnership has brought together more than 200 service providers through 15 networks to focus on data-driven continuous improvement. The networks are assembled around individual strategies that drive improved outcomes for children and young adults. In its role, the Strive Partnership convenes these groups to create joint continuous improvement plans using the Strive Six Sigma framework, a process improvement system adapted from corporate partners, most notably GE Aviation. The Strive Partnership convenes the networks to create plans that focus on how data shows them what they are doing well, what they can improve upon, and how data will inform continuous improvement. Strive has extensive experience in convening and facilitating these networks and providing training, coaching and technical assistance on the Six Sigma process. Strive's work is guided by the Strive Roadmap, which identifies key transitional periods in a child's life and the strategies and related outcome measures that will guide children to success.

The Strive Partnership has also built into its network support a system of accountability. Strive works with its networks to guide them through an endorsement process for their continuous improvement plan. The endorsement process engages community leaders from the corporate, educational, nonprofit, civic and philanthropic sector to provide endorsement on two levels. An initial level of endorsement signifies that networks have used data to measure how well they are currently working towards goals. A second level of endorsement signifies that the action plan clearly shows how programs will be improved and use data to continuously improve. Since inception, 7 of the 15 networks have received second stage endorsement. The other 8 networks have modified evaluation and data collection plans to better align their efforts with desired evidence of effectiveness. In total, more than 150 individuals, including representatives from all 15 networks, have received extensive training on how to use the Strive Six Sigma process to design and implement a continuous improvement plan. Strive's experience and expertise in supporting data-driven continuous improvement will guide the implementation of the competitive subgrant process and the support of subgrantees in building their capacity.

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Collectively the partners in this collaboration have extensive experience sponsoring and encouraging evaluation among our grantees. One example of this is CincinnatiWorks, a job training program that aims to move people out of poverty. CincinnatiWorks is a grantee of multiple partners in the Greater Cincinnati Social Innovation Fund project including United Way, Greater Cincinnati Foundation and the Haile Foundation. In 2009, CincinnatiWorks did a large evaluation and data-analysis to determine the barriers job training clients faced in getting and sustaining employment. It found that three top reasons that people left job programs were substance abuse, mental healthy issues, and domestic violence. United Way worked with CincinnatiWorks to pull together the region's largest job training providers and share this data. These organizations were encouraged to start or grow partnerships with organizations that specifically dealt with these large barriers. As United Way made funding decisions for its 2010-2012 funding cycle it created incentives through funding directives for substance abuse, mental health and domestic violence programs and jobs programs to better collaborate to support clients who may be dealing with these barriers. This is just one example of how funders and partners in the community have shared the results of data across grantees and changed funding behaviors to support key learnings from data.

Board of Directors, Administrators, and Staff -- The management structure of this project has been designed to draw on the strengths and competencies of the individual partners. Staff representatives from each of the organizations in the collaborative will serve on a Social Innovation Fund Oversight Council. This Council will be responsible for approving final subgrant decisions and will meet quarterly to review training and technical assistance activities and review progress of subgrantees towards mutually negotiated project milestones and outcomes. The council members will represent their organizational interests and ensure the provision of matching funds.

Several key program positions will support the project.

Project Director -- As the key staff person for the project, the project director will have day-to-day responsibility for managing the Greater Cincinnati Social Innovation fund. The Project Director will be

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an employee of the Strive Partnership but will work closely with each of the partners to coordinate the project. The Project Director will be responsible for coordinating all aspects of the competitive subgrant process including announcement of availability of funds, training for interested applicants, and review of the proposals. The Project Director will also be responsible for coordinating training and technical assistance for the portfolio of subgrantees and facilitating the Social Innovation Network. The Project Director will interface with project evaluators to design an evaluation of the Greater Cincinnati Social Innovation Fund to ensure that the projects funding has an impact on the desired measurable outcomes. The Project Director will be supervised by Strive Partnership staff, but will be accountable in their performance to the Social Innovation Fund Oversight Council. The Project Director will prepare monthly progress reports for the Council. In addition, the Project Director will prepare all reports for the Corporation for National and Community Service and participate in SIF learning circles as appropriate. The Project Director will be hired once notice of funding is received by the applicants. United Way staff and resources will support the Greater Cincinnati Social Innovation Fund project. Three key United Way staff will provide support the project -- Barbara Terry, Vice President of Community Impact, Charles Wright, Director of Agenda Integration, and Patricia Waldsmith, Director of Community Impact.

Barbara Terry currently serves as Vice President of Community Impact for United Way of Greater Cincinnati. She has extensive grant management experience through an Early Learning Opportunity Act grant. She has served in public health fields and as an early childhood consultant and later vice president of investment for the Heart of West Michigan United Way. She has an MS in Community Services and Evaluation from Michigan State University.

In his role with United Way, Charles Wright oversees the evaluation and outcome measurement program for all United Way investments. He works closely with community volunteers and community agencies to increase their capacity to use logic models to communicate program goals and accomplishments. He oversaw United Way's efforts to make its reporting system electronic creating

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efficiencies for United Way and partner agency staff. He has served as a national trainer within the United Way system to increase capacity to use performance data and evidence of effectiveness as the basis for funding decisions. He is currently working with United Way's collaborative programs and agency affinity groups to institutionalize the sharing of best practices among different service providers to enhance the program of all. He is directly responsible for overseeing United Way's evaluation and community measurement program that allows United Way to determine if its program investments are, in fact, moving the needle on key community outcome measures. Mr. Wright holds a BA in Social Work and a BS in Psychology from Wright State University and an MSW from the University of Cincinnati. Patricia Waldsmith is United Way's Director of Community Impact who oversees United Way's work and investment in the education issue area. She currently supervises the project manager for the U.S. Department of Education grant program, Ohio Parental Information and Resource Center. She oversaw the development and implementation of United Way's last call for investment process which guided three year funding decisions. Ms. Waldsmith holds a Bachelor's in psychology from Calvin College and an MSW focused on Policy, Planning and Administration from Western Michigan University.

The United Way staff will support the project by helping to develop and implement the subgranting process and supporting the facilitation of the Social Innovation Network. In addition, United Way will serve as a link between its own finance department, the project director, CNCS and the Oversight Committee to ensure appropriate communication between all parties involved in the grant program. The Director of Operations for the Strive Partnership, Jennifer Blatz, will manage the Six Sigma subgrant process. In this role, she will facilitate information sessions to provide details and answer questions, as well as manage the grant review and award process in collaboration with the United Way and other funding partners. Blatz has nearly ten years of experience in grant management working with KnowledgeWorks Foundation (Strive's parent organization). In her various roles with KnowledgeWorks, she has served as Senior Program Officer for College & Career Access, as an

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"executive on loan" to the Ohio College Access Network (OCAN), where she was Executive Director and now manages general operations for the Strive Partnership. She has a Bachelor's Degree in English from University of Kentucky and a Master's of Science in Educational Leadership from Miami University (OH).

The Program Manager for Continuous Improvement for the Strive Partnership, Debbie Curl-Nagy, will deliver the training on Six Sigma in partnership with professional trainers from GE Aviation. This three-day training provides a tools and resources for programs to complete the Six Sigma action planning process. As part of the training, programs actually apply their work to the Six Sigma process so they leave the training with a draft action plan in hand to work from with their entire organization. Curl-Nagy has more than fifteen years of relevant experience in quality process improvement training, program management and performance measurement. She has helped to develop the curriculum for the Strive Six Sigma training and delivered this training to more than 150 practitioners in the Greater Cincinnati/Northern Kentucky area. Curl-Nagy has a Bachelor's Degree in Psychology from Bowling Green University, Master's in Social Work from Louisiana State University and 35 hours of coursework toward a Ph.D. in Social Work from University of Kentucky.

Erika Cooksey, Process Improvement Coach at INNOVATIONS at Cincinnati Children's Hospital and Medical Center will provide ongoing technical assistance to the selected programs to aid them in the continuous improvement process. In this role, Erika meets with the program on a regular basis and is available for on-call technical assistance to help them develop the plan, analyze data, and implement specific actions. The focus of the Process Improvement Coach role throughout the process is to build capacity within the program to practice continuous improvement on an ongoing basis. Cooksey has worked in the social services field for nearly ten years and has experience in program development, strategic planning, and data analysis. Cooksey has a Bachelor's Degree in Social Work from the University of Maryland and a Masters of Social Work from Howard University. To ensure that programs receive ongoing support, over time, a retired executive volunteer from the community will be assigned to

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the program to assist on an as-needed basis with the continuous improvement process and ongoing analysis that builds on the initial action plan developed with the Innovations coach.

B. Ability to Provide Fiscal Oversight

As a convening partner for the project, United Way will also serve as fiscal agent for the SIF grant.

United Way is an experienced federal grantee having received four federal discretionary grants and served as fiscal agent for the federal Emergency Food and Shelter Program in the Greater Cincinnati and Northern Kentucky region. United Way has been the recipient of two federal Early Learning Opportunity Act grants from the Department of Health and Human Services totaling more than \$1.4 million. United Way is also currently the grantee for the Ohio PIRC, a Parental Information and Resource Center grantee from the Department of Education, a five year grant totaling more than \$3.2 million and a Volunteer Income Tax Assistance grant from the IRS totaling \$40,000. In addition to federal grantee experience, United Way annually raises and processes more than \$62,000,000 from its annual campaign. United Way has been required to obtain an A-133 audit since 12/31/05. Unqualified audit opinions have been received for each year.

United Way has more than 14 FTEs in its accounting department. Currently, three staff provide primary support to fiscal management of federal grants including an accounting manager, staff accountant and accounts payable specialist. The approved project budget will be detailed and tracked by line item on a budget versus actual spreadsheet, which will include total grant budget, year to date budget, actual YTD expenses, and variances. Federal and non-federal amounts will be tracked and monitored on this spreadsheet. This will ensure that non-federal matching funds are accounted for as federal funds are drawn down. This budget versus actual spreadsheet will be reconciled to the UWGC general ledger by the accounting department on a monthly basis and will be sent to the program director for review on a regular basis. The program director will work closely with the accounting staff to ensure that spending reflects the approved budget.

The budget versus actual spreadsheet will be used as the basis for financial reporting for

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government grants which will be prepared by the accounting department for review and approval by the program director. All financial supporting documentation will be maintained by the accounting department for amounts subject to record retention requirements of the grant, or if none exist, for the record retention requirements of UWGC.

Through facilitation of the Federal Emergency Management Agency's Emergency Food and Shelter Program, United Way has extensive experience in subgranting Federal funds to local organizations. United Way makes grants to community organizations providing services and oversees reporting from those programs to ensure that funding is being used to provide high quality programs at a level appropriate to the funding amount. United Way typically pays funding on a monthly basis and works closely with program staff to ensure subgrantees are in compliance with all program requirements. In the event that a request is made for funding outside of these typical payments (i.e., a program has start up costs greater than an equal 1/12 share of their funding) United Way requires that both the program manager and Vice President of Community Impact sign off on check requests. To ensure clarity United Way processes its federal grant payables on a separate cycle that UWGC accounts payable.

United Way and Strive will execute a memorandum of understanding with each grant partner who will receive funding through federal funds or local match. In addition, each subgrantee will be required to enter into a memorandum of understanding before receiving subgrant funding.

Budget/Cost Effectiveness

A. Budget and Program Design

Five community funders have made commitments to support the project. These commitments make up more than one half of the required minimum cash match. The partners currently contributing to the match include four of the Greater Cincinnati community's largest community funders -- United Way, Greater Cincinnati Foundation, the Haile/U.S. Bank Foundation and KnowledgeWorks Foundation -- as well as the P&G Fund, the philanthropic arm of the community's largest corporate citizen, Procter and Gamble. Together these contributions total \$558,000 towards the required \$1,000,000 cash match.

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These investments will support program implementation including both subgrants through the competitive process and program supports (technical assistance) for the portfolio of subgrantees. Each funding partner currently investing in the program and any additional funding partners in the future will serve on an oversight committee that provides a role for them in the competitive subgrant process and in project implementation. By bringing the funding partners closer to the project, we believe we can emphasize the importance of using data to drive investments, share best practices on how that is done, and expand capacity of all the partners to fund in this way. We also believe that by building a close relationship between the funding partners and the portfolio of innovative, effective programs, we will ensure sustainability for their replication and expansion efforts. This should build a sense of ownership and partnership between the funders and the projects, and help the funders see the value in supporting these projects beyond the grant period. It also brings the funding partners closer to the Strive Partnership. The Strive Partnership has fundraising staff focused on building an incentive fund to support innovative projects, strategies and community collaborations. This work began even prior to the announcement of the Social Innovation Fund.

The project budget focuses resources on supporting innovative and effective programs through the competitive subgrant process. Eighty-seven and a half percent (\$1,700,000) of the total budget will be distributed through the competitive subgrant process. This includes \$820,000 of the federal funds and \$880,000 of the local match funds. Currently \$458,000 in local match funds have been secured to be a part of the competitive subgrants process, and plans are in place to raise the additional \$422,000 (described in the next section).

The partners are contracting with INNOVATIONS to provide overall evaluation of the SIF project (including systems that will allow partners to determine if investments are responsible for improvements in community outcomes) and the provision of technical assistance to subgrantees in determining needs to increase evidence of effectiveness. This contract will be paid for out of both Federal and local match resources. To ensure that all evaluation needs of subgrantees are adequately

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met, the subgrant process will be designed to allow organizations with only preliminary or moderate evidence of effectiveness to invest SIF subgrant funds into building capacity to conduct evaluation and ongoing data analysis and continuous improvement. This may include allowing subgrantees to contract with additional evaluation experts or contracting directly with INNOVATIONS to provide intensive services beyond the provided technical assistance.

There are several budget items that will be paid for out of federal funds in addition to the subgranted funds. The partners determined that federal funds were most appropriate for these uses because of the desire of local funders to have their funds directly support subgrants. Since the SIF program allows for support of these items the budget reflects those expenses (project staff, travel, supplies and indirect) as federal costs. However, to ensure that the project is being conducted in the most cost effective way and that the greatest possible amount of funds are reaching innovative programs, the partners designed the project to allow for a greater than minimally required amount of federal funds being invested through subgrants (82% vs. the required 80%) and that more local funds were going into subgrants than federal funds (\$880,000 vs. \$820,000).

The project will use \$80,000 in federal funds to hire a project director and pay salary and benefits. The project director will carry out responsibilities described in the organizational capacity narrative. This position is critical to the success of the project, and by using federal funds to pay for the position it will create greater incentive for additional local partners to invest in the subgrants.

An additional \$50,000 in federal funds will be used to supplement local contracts for technical assistance for the subgrantees. This will include technical assistance on data and evaluation as well as general capacity building for subgrantees on organizational management topics.

In addition, federal funds will be used to pay for travel to national SIF meetings. We have budgeted \$3,500 in anticipation of sending three local staff to those meetings (project director, United Way representative and Strive Partnership staff).

The partners also budgeted \$6,500 for project supplies. This will include creation and printing of a

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Request for Proposals for subgrants, training materials for potential applicants, and training materials for subgrantees. This figure is based on similar costs for United Way's call for investment process which typically attracts more than 1,000 applications from more than 200 community organizations. The partners expect a similar or larger response for the subgrant funding process.

Finally, \$40,000 of federal funds are budgeted for indirect costs in management of the grant. United Way has a provisional indirect cost rate of 25.7% that has been negotiated with the U.S. Department of Education. To ensure cost effectiveness for management of this program, United Way is only requesting 4% for indirect costs. The remainder of United Way's costs will be provided in-kind, though they do not appear in the budget as the project does not allow for in-kind resources as part of the required match.

All matching resources in the budget are cash.

There are several project supports that do not appear in this budget. These resources are more accurately defined as in-kind supports, and therefore not an allowable match for this project, but are still critical to supporting the designed project and ensuring its cost effectiveness.

These resources include staff support from United Way, the Strive Partnership, Greater Cincinnati Foundation and Haile/U.S. Bank Foundation. Staff from these partners will provide expertise in the design and execution of the subgrant process, will support subgrantees in acquiring their required matches on subgrants, and will leverage resources and relationships to assist subgrantees in replicating and expanding programs.

B. Match Sources

The partners have currently received commitments for \$558,000 in match funds. The partners are committed to providing matching funds equal to the minimum requirement. Current economic conditions have created strains on local grantmaking institutions' budgets. In addition, many community grantmakers have already come together to pool funding resources to do a subgrant process designed to support families affected by the economic crisis. While this will not limit the partners' ability to raise the additional \$500,000, it would present a challenge to committing to provide a match

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beyond the minimum requirement. For that reason we are focusing our efforts on providing a dollar-for-dollar cash match on the requested \$1,000,000 of federal funds.

The Strive Partnership fundraising staff, along with the current funding partners, have identified potential sources for the additional match and begun those conversations. However, we believe that those efforts will be accelerated once the federal grant award is announced, because the federal match on local funds will be in hand.

Clarification Summary

Programmatic Issues for Clarification

1. Your request of \$1 million represents less than three percent of your annual grants budget (\$48.3 million). How will such a small influx of new resources impact this much larger pool of funding?

The \$48.3 million represents United Way of Greater Cincinnati's entire grants budget which covers 10 counties across parts of three states. The Greater Cincinnati Social Innovation Fund project is targeted at the urban core of our region. Approximately, 40% (\$19 million) of United Way's grants budget is invested in the targeted area. Still this is a much larger pool of funding than the requested grant.

United Way of Greater Cincinnati has been in existence for more than 90 years. It started as a federation of charitable organizations conducting a joint fundraising campaign and sharing those proceeds. Over the last 10 years, United Way has taken significant steps in its development as an organization focused on community impact. We first began by changing our funding focus from agencies to programs, then by requiring programs to measure and track outcomes. In 2005, United Way made a major change in direction by setting community level outcomes and asking all funded programs to work toward shared outcomes.

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Still, even with those changes, United Way has very strong, traditional relationships with some of our community's nonprofits -- in some cases these relationships date back more than 90 years. United Way is not a foundation and must raise its investible funds on an annual basis. Because of these traditional relationships, there is an expectation among many of our donors that we will continue our funding relationship for key agencies and programs. These are quality programs, and many have strong evidence of impact. But, this dynamic does limit the funding that is available to encourage, support and replicate innovative programs.

United Way and its partners have looked for creative ways to launch and support innovative programs that set a direction on transitioning some level of traditional investments to support innovation. For example, a 2006 Early Learning Opportunity Act grant from HHS was used to launch the Consortium for Resilient Young Children, an innovative, collaborative program focused on providing mental health consultation and social and emotional development supports to our community's youngest children. Through the 17 month grant, the program was able to demonstrate its effectiveness and United Way has sustained those activities with ongoing local funding.

The influx of relatively small resources that are specifically focused on identifying, supporting and replicating innovation can potentially have strong impact on local funding systems.

- * It will provide another tool for community funders to identify the community's strongest programs for sustainable investments.
- * It will provide a comparably large influx of investible dollars to the Strive Partnership which will strengthen its systems work in the community and its ability to highlight programs that really work and make them examples for other similar programs and services.
- * The project is designed to collaborate with many of the community's largest funders which will increase their exposure to evaluation, evidence-based funding decisions, and recognizing innovation.

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All of the funders bring skills and strong experience, but working together to determine what is effective and what is innovative will have impact on how all of us conduct our individual funding efforts.

2. On page nine of your proposal you note that your SIF will focus on eight priority areas (early childhood and home visitation, mentoring, service learning, etc.). Have you further refined your scope of focus? How do you propose to refine your focus?

The Greater Cincinnati Social Innovation Fund partnership has defined our priority focus by the outcome measures defined on pages 8 and 9 of the narrative.

Ready for School

- * Increase in the percentage of children assessed ready for school in the area of pre-literacy skills
- * Increase in the percentage of children assessed ready for school in the area of social and emotional development

Ready for College

- * Increase in percentage of children scoring at or above state minimums on standardized tests
- * Increase in high school graduation rates
- * Increase in performance on the ACT
- * Increase in percentage of youth who enroll in college or career training

Ready for Life

- * Increase in youth health indicators (such as oral health, mental health and immunization rates)

Narratives

- * Increase in school attendance
- * Increase in the number of hours youth spend engaged in their community
- * Increase in the number of individuals gaining and sustaining employment

Our project has a relatively small geographic focus - the urban core of the Greater Cincinnati region. We chose a broader focus (10 measures) to encourage a wider range of potential applicants for subgrants.

We do not want to unnecessarily limit applicants who may be able to demonstrate impact and innovation in the areas of youth development and economic opportunity by defining our specific outcomes focus too narrowly.

We are prepared to work with the Corporation to further define our focus if it is deemed necessary, and will consider program design elements that would help narrow focus. We have proposed to partners the following filters as decision points for narrowing focus:

- * Imperative -- Determine what level of impact a given program will have on the outcomes highlighted in the proposal. This initial filter is the most critical as moving these outcomes is the ultimate goal of the project.
- * Right -- Determine the level of commitment of key community leaders - particularly funders - to assess whether the program will be able to operate in a sustained manner and be scaled over time.
- * Resources -- Determine existing and new public and private resources which could be leveraged to sustain and scale the work. Identify those opportunities where efforts to effectively leverage resources is highest.
- * Leadership -- Determine whether the right people are in place to effectively execute the proposed program based on the proposal submitted.

Narratives

3. Please explain in greater detail how you will use your selection and investment process to move subgrantees beyond data collection and studies that demonstrate correlation, to evaluations that demonstrate causation.

Since the subgrant investments will benefit only a small percentage of community organizations, we want to ensure that both the selection process and investment process are moving organizations beyond data collection and studies showing correlation.

In the selection process we intend to do this through a series of technical assistance sessions for applicants. United Way and Strive intend to leverage the interest in SIF to pull in a large pool of potential applicants. While some of the training and technical assistance for applicants will obviously focus on the process of application, we will also provide training and technical assistance on how to use data collection, correlation studies, evaluation and causation demonstrations to communicate the impact of their programs. This will include contract partners with evaluation experience explaining the differences between correlation and causation and the different activities organizations undertake to demonstrate impact.

We will also take all potential applicants through training in applying the Six Sigma continuous improvement process to their work.

These efforts will not only create understanding of the implications and requirements of SIF subgrant funding, but will raise awareness of the importance of evaluation for all potential subgrantees.

Once investments are made the bulk of training and technical assistance will focus around increasing evidence of impact. Specifically, subgrant funding can be used (and for some we will require use) to

Narratives

move programs beyond data collection. This will include contracting for evaluation services, coaching on conducting evaluation and in some cases paying for causation studies (ie., experimental design evaluations). Strive and United Way will contract with evaluation experts to provide training and technical assistance to all subgrantees, and will engage the portfolio of subgrantees in a network of peers that acts as a formal learning circle for the organizations to share the challenges and opportunities of evaluation.

Going back to question 1, while preparing our application, United Way's evaluation staff person observed that the community has a number of agencies/programs that are really on the cusp of moving from data collection to evaluations that demonstrate causation. The influx of SIF funds is exciting because it provides additional catalytic resources to the community to increase capacity of those agencies to truly be data-driven and focused on continuous improvement. We are excited to reward those organizations, build their capacity, support their innovation and sustain their efforts.

4. On page 18 you detail a sample of reviewers for your selection process. Is evaluation expertise reflected in this potential reviewer pool?

Of the organizations listed as providing representatives for the review stage of the selection process many of them do provide evaluation expertise. For example, the Strive Partnership, United Way and Greater Cincinnati Foundation all have dedicated staff who focus entirely or primarily on evaluation. The corporate partners are not likely to bring the same kind of evaluation expertise, but it is important to engage them from a sustainability standpoint (to increase their understanding of SIF and our work).

The question reflects a thought that the planning partners have had since proposal submission. That is how do we supplement the evaluation expertise of funding partners in the review process. To do this the

Narratives

partners will engage additional evaluation experts from the community. This will include the partners from INNOVATIONS and other evaluation professionals.

5. You expect to have 10 ? 15 subgrantees in year one. Please detail how you arrived at this estimate.

This estimate was arrived at using an average gift range of \$100,000 - \$200,000 compared to the available annual subgrant investments of \$1,700,000. This number of subgrantees is large enough to meet community need, but small enough to allow for close collaboration with the subgrantees for training and technical assistance. The partners have discussed making fewer and larger subgrants, but will need to determine in its design of the subgrant process if that places too much burden on the subgrantees in terms of meeting match requirements.

6. Please explain the qualifications of INNOVATIONS in assisting and evaluating economic opportunity programs (as opposed to youth development and school support programs, where they have relevant issue expertise).

INNOVATIONS programmatic experience has been largely focused on youth development and school support programs. It will leverage this experience to support the project. United Way and the Greater Cincinnati Foundation bring relevant experience to the partnership in regards to economic opportunity programs. United Way has launched a pilot initiative among workforce development and job training programs across the community to use a shared data system to track outcomes and conduct evaluation. This initiative using G*STARS software is being conducted with the local workforce investment board. Greater Cincinnati Foundation is serving as the lead organization for the Greater Cincinnati Workforce Network, a collaborative project that is piloting and evaluating best practice workforce interventions throughout the region.

Narratives

In planning for the subgrant review process, the grant partners will recruit additional partners with specific experience assisting and evaluating economic opportunity programs.

7. How many FTEs of INNOVATIONS will be involved in the SIF project at the proposed contract of \$130,000?

This contract will be carried out on a per hour cost basis. INNOVATIONS staff have varying per hour rates for services (from \$50-\$150 based on their education and experience). The contract will cover 25 hours per week for support from multiple INNOVATIONS staff. This will include 10 hours per week at \$150 per hour and 15 hours per week at \$50 per hour.

8. On page 32 you note that funders will serve on an oversight committee that provides a role for them in the competitive subgrant process and in project implementation. Please articulate the value of these funders to a results-based committee tasked with selection and implementation.

The identified funding partners all share a commitment to funding high-quality, high-impact programs. While each funder implements funding decision making using their own processes, each consider current and potential program impact and evidence of effectiveness as criteria for funding decisions. In fact, many of the partners were part of a process several years ago to create the Greater Cincinnati Common Grant Application - a resource to grantseekers to use on grant application for multiple funders. While the application contains common sections on need and program description, grantseekers are required to provide evidence of past effectiveness, description of the use of best practices, and list and describe short, intermediate and long-term expected outcomes.

Narratives

The funders will bring this experience of results-based decision making and knowledge of community need to the process.

To ensure that the process is consistently implemented, and to build capacity of the funders even further, the review committee will undergo training on identifying and selecting subgrantees prior to the review of subgrant proposals.

9. Please detail how you might support subgrantees in meeting their match requirements.

The project has been designed to gain support and involvement from the largest private social service funders in our region (United Way, Greater Cincinnati Foundation, Haile Foundation and KnowledgeWorks Foundation). In addition we have received corporate support (Procter and Gamble) and expect that other corporate and private foundation funders will join in this project.

It is likely that potential subgrant recipients will be current grant recipients from these funders and that that funding can be leveraged towards the match. In cases where this is not true, having the funders involved in the decision making should help the partners ensure that they can leverage other funding investments to help subgrantees meet the match requirements. United Way and the Strive Partnership will leverage their relationships with regional funders to help encourage investments in selected subgrantee programs.

10. With respect to your proposed measures (pages eight and nine), please provide current statistics and the extent to which you aim to increase or decrease these statistics.

Community Outcomes - Current status and current benchmarks

Percentage of Children Assessed Ready for School in the Area of Pre-Literacy Skills

Narratives

Cincinnati current - 48% benchmark- 59%

Covington current - 71% benchmark- 75%

Newport current - 62% benchmark- 85%

Percentage of Children Assess Ready for School in the Area of Social and Emotional Development

No standard agreed-upon community measure currently exists.

We would look to individual programs for baseline and goal data.

Percentage of Children Scoring at or above State Minimums on Standardized Tests

Cincinnati

4th grade Reading current - 60% benchmark- 75%

4th grade Math current - 55% benchmark- 74%

8th grade Reading current - 65% benchmark- 79%

8th grade Math current - 54% benchmark- 58%

Covington

4th grade Reading current - 54% benchmark- 61%

4th grade Math current - 51% benchmark- 42%

8th grade Reading current - 43% benchmark- 59%

8th grade Math current - 27% benchmark- 37%

Newport

4th grade Reading current - 58% benchmark- 59%

4th grade Math current - 73% benchmark- 42%

8th grade Reading current - 50% benchmark- 59%

8th grade Math current - 40% benchmark- 37%

Narratives

High School Graduation Rates

Cincinnati current - 80% benchmark- 95%

Covington current - 90% benchmark- Not available

Newport current - 81% benchmark- Not available

Performance on ACT (composite)

Cincinnati current - 19.0

Covington current - 17.8

Newport current - 18.5

College Enrollment

Cincinnati current - 64% benchmark- 70%

Covington current - 45% benchmark- Not available

Newport current - 43% benchmark- Not available

School Attendance

Cincinnati current - 95.2% benchmark- 94.3%

Covington current - 93.4% benchmark- 94.2%

Newport current - 95.0% benchmark- 94.2%

Unemployment Rates Cincinnati MSA (4/10) 9.5% 10.2% (national)

11. In addition to Books in Action, please detail any replication and expansion efforts you or your partners have undertaken.

Narratives

Among the other examples of replication and expansion efforts undertaken or supported by the partners are the Strive Promise Compact and Health Careers Pathway.

Strive Promise Compact - An analysis of data from last-dollar grant programs at two local colleges led the Strive Partnership to recommend the expansion and replication of these programs at two additional public colleges in the region. The Cincinnati Pride Grant at the University of Cincinnati and the Holmes/Newport Grant at Northern Kentucky University were established to support low-income graduates from the urban public schools in Cincinnati and Northern Kentucky. These programs were launched with a promise that any graduate from select urban public high schools who are Pell grant eligible can receive last-dollar grants to close the gap between financial aid and tuition, thereby ensuring that financial barriers would not prevent these students from attending college. Following the launch of its Pride Grant program, the University of Cincinnati experienced a 34% increase in enrollment from students from Cincinnati Public Schools. Northern Kentucky University experienced a 55% increase in applications from graduates from Holmes High School in Covington and Newport High School in Newport. In addition, college persistence from first to second year for Pride Grant recipients at the University of Cincinnati have been equal to those of all students from Cincinnati Public Schools, despite the significant financial barriers that Pride Grant students have.

Using data from these grant programs, the institutions decided to expand the programs so that more funding would be available to provide small grants to these students to pay for books. The Strive Partnership used these best practices to establish the Strive Promise Compact -- an initiative engaging the local public two-year institutions in the grant program. Starting with the 2010-2011 academic year, Pell eligible graduates from the urban public schools who enroll in Cincinnati State Technical and Community College or Gateway Community and Technical College will be eligible for similar last-dollar grants. In addition, all of the institutions will institute targeted support programs for these students so

Narratives

that they are more successful and persist through graduation.

Health Career Pathways - Led by Great Oaks Career Campuses, the Health Career Pathways is a workforce initiative that engages employers, educators and support service providers to provide training and support to unemployed or underemployed individuals. Training focuses on outcomes of job placement in entry level positions that have a career pathway for advancement and higher wages and benefits. The programs are designed with employers to meet actual workforce needs. After several years of operation, Great Oaks placement and retention outcomes stood out from other workforce interventions in terms of strength and consistency.

In 2007, United Way began to fund the Healthcare Care Pathways program to expand services available for low-income individuals. As part of a National Fund for Workforce Solutions grant which funds the Greater Cincinnati Workforce Network (led by SIF partner, Greater Cincinnati Foundation) the Career Pathways model was identified as an innovative and effective intervention and plans were created to replicate the Healthcare Career Pathways model in other geographies (Northern Kentucky) and replicate the model in other industries (advanced manufacturing and construction). United Way and other funders are currently supporting those replication efforts.

12. In your discussion of need (page five), please provide greater detail on your target populations (for example, using age, income-level, location within your geographic region, ethnicity, etc.).

While United Way and some of the other funding partners have broad geographic focus areas within our region (for example United Way serves 10 counties across three states), the partners have initially chosen to focus on the three cities that make up the urban core of our region - Cincinnati, Ohio and Covington and Newport, Kentucky.

Narratives

Ethnicity -

Ethnic breakdowns for the Greater Cincinnati Metropolitan Statistical Area (MSA) are:

84.2% white, 11.8% African American, 1.8% Hispanic/Latino

Ethnic breakdowns for the target cities are:

Cincinnati = 51.0% white, 44.4% African American, 1.9% Hispanic/Latino

Covington = 84.5% white, 11.2% African American, 1.5% Hispanic/Latino

Newport = 91.7% white, 5.5% African American, 1.7% Hispanic/Latino

Age -

In the MSA population breaks down by age as follows:

6.9% under the age of 5, 25.2% under the age of 18, 11.9% over the age of 65.

Cincinnati = 7.2% under 5, 22.3% under 18, and 12% over the age of 65

Covington = 7.5% under 5, 24.1% under 18, and 10.4% over 65

Newport = 7.8% under 5, 26.4% under 18, and 11.2% over 65

Income Level - Poverty and low-income population concentrates in the urban core.

Median household income - MSA: \$53,933

Cincinnati: \$33,524

Covington: \$37,472

Newport: \$32,858

Families in Poverty - MSA: 8.1%

Cincinnati: 20.9%

Narratives

Covington: 20.8%

Newport: 20.7%

Families w/ children under 18 in Poverty - MSA: 12.8%

Cincinnati: 32.95

Covington: 31.9%

Newport: 30.0%

Families w/ Children Under 5 Only in Poverty - MSA: 14.9%

Cincinnati: 30.3%

Covington: 35.5%

Newport: 38.2%

All People In Poverty - MSA: 11.3%

Cincinnati: 25.7%

Covington: 23.2%

Newport: 22.3%

All People Under 18 in Poverty - MSA: 15.4%

Cincinnati: 40.3%

Covington: 36.3%

Newport: Not Available

Female head of household with own children - MSA: 7.7%

Cincinnati: 11.9%

Narratives

Covington: 11.6%

Newport: 12.6%

Percentage of population with less than 9th grade education: MSA 3.7%

Cincinnati: 4.4%

Covington: 7.6%

Newport: 13.2%

Percentage of population without a high school diploma: MSA 9.4%

Cincinnati: 14%

Covington: 14.6%

Newport: 21.5%

13. Strive, your lead partner, are not referenced in your budget. Please clarify your fiscal relationship with Strive.

United Way and Strive enjoy a strong community partnership. Since its inception, United Way's President has served on the Strive executive committee. The two organizations have overlapping focus areas in youth services and economic opportunities, and because of this work closely to determine how to best leverage each organization's strengths to drive impact in the community. An example of our shared work is a recent proposal that created a Continuous Learning and Improvement Committee where United Way and Strive integrate their support of and advocacy for collaborative community efforts. Key to this work are complementary definitions and common standards of practice among United Way and Strive efforts.

Narratives

The Social Innovation Fund is a good opportunity to use these strengths to implement a strong program.

United Way has extensive experience in fiscal management, federal grants management, and community investments. In addition, United Way has invested in building capacity of community nonprofits to track outcomes and measure and communicate program impact.

Strive has been driving community alignment of resources along a cradle-to-career continuum with the objective of identifying and supporting interventions that are working for our community's children and families. As part of this work, Strive has worked to build community capacity to use data to driven continuous improvement efforts at system and program levels. One example of this capacity building has been working with GE to adapt it's Six Sigma process improvement program and training community agencies in applying this framework to their education and social service programming.

In carrying out the Social Innovation Fund, United Way and Strive will work together to provide leadership. United Way will employ the SIF Project Director and a Financial Associate to oversee project implementation and financial management of federal and partner funding. Strive will provide leadership in the areas of providing training, technical assistance and capacity building to subgrantees. Both Strive and United Way are bringing resources and staff to the project beyond these two project employees. Because third party in-kind contributions are not eligible for match requirements, Strive's total contribution to the project is not accurately reflected in the project budget.

Strive's Executive Director and Director of Operations will both be closely tied to program ensuring that training and technical assistance plans are further developed and executed and that project activities align with the goals and mission of the Strive Partnership. Strive's Director of Continuous Improvement will be a resource to the project in the design and implementation of the subgrant process and will help provide additional coaching to subgrantees.

Narratives

The budget has been revised to help cover some of Strive's costs for conducting training and technical assistance on the Six Sigma continuous improvement framework. This will include training for interested subgrant applicants, intensive training for subgrantees and ongoing coaching as subgrantees implement continuous improvement plans. This training will be conducted by Strive's Associate Director of System Innovation.

While the Project Director will provide leadership to the initiative's design and structure, the position is designed additionally to provide on-the-ground capacity to project partners. In this sense the Project Director will increase the capacity of both Strive and United Way to deliver upon the goals and committed project components detailed in our proposal. The Project Director will work closely with both organizations to ensure that strengths are leveraged and that project activities are aligned with CNCS expectations and the community work of Strive and United Way.

Ultimately, United Way will be responsible for the programmatic and financial outcomes of the grant. Strive will be a critical partner in ensuring that the program is conducted with high quality and that all community strengths are leveraged to support success.

For Official Use Only

Required Documents

Document Name

Status

Match Verification

Sent

2010 Social Innovation Fund

United Way of Greater Cincinnati

Section 2 – Clarification Questions

Second Round Clarification Question:

Q: Is \$67,500 a competitive salary for the Cincinnati market? It seems too low to attract a high-quality Project Director. How does this level compare with other United Way of Greater Cincinnati project director or manager positions? We recommend you consider increasing the salary level for the position given the significance of the SIF initiative.

A: We have resubmitted our application with an adjustment to the Project Director salary. We increased the salary to \$70,000.

This represents a competitive salary in the Cincinnati market. It is listed as a Grade Level 12 position for United Way, which is the highest pay grade for non-executive United Way employees. The \$70,000 is about 90% of the midpoint of the salary range which starts at \$62,600. We also built in a 3% increase for the second year of the budget (\$72,100).

We have benchmarked the salary against other similar positions in the community.

This compares favorably to past and current project directors for federal grants positions. Our current PIRC Director is paid in the mid \$50,000 range. The higher salary for the SIF Project Director is meant to reflect the greater responsibilities and significance of the role.

Cincinnati's cost of living is much lower than many other metro areas. While it's not an exact science, we did compare the salary against cost of living in other cities. <http://cgi.money.cnn.com/tools/costofliving/costofliving.html> Based on these calculators, a salary of \$70,000 in Cincinnati compares to a salary of \$125,000 in San Francisco, \$100,500 in Boston, \$87,000 in Chicago, and \$106,500 in D.C.

We are comfortable we will be able to recruit and retain a high-quality Project Director with this budgeted salary.

Budget Clarification Questions:

1. There is only one staff person included in the budget. Please explain how other staff functions such as financial management and administrative support will be covered.
2. Because the Corporation considers paid time off to be covered because the grant is paying the salary, we do not generally cover those costs as a separate benefit. Please justify its inclusion as a separate line item under benefits.
3. The budget includes a percentage for indirect costs. If you have a negotiated federal indirect cost rate with another federal agency, please send it to the Corporation. If you do not have a negotiated indirect cost rate, please send your allocation plan or the calculation for the 25.7% in the budget narrative. Please also provide a calculation to show how you reached \$40,000 as a percentage of salaries and benefits.

1. Under the Kennedy Serve America Act, all grantee and subgrantee staff include on the budget and funded under the grant (whether budgeted from Federal funds or matching funds) must go through a criminal history check as described in the Corporation's regulations at 45 CFR ? 2540.200. Please revise your budget to cover those costs. Costs for background checks vary significantly state by state. For information on national service criminal history checks, including Frequently Asked Questions with a list of designated state agencies who can advise you about costs for obtaining criminal history information from them, go to <http://nationalservicerresources.org/criminal-history>.

The budget and narrative have been updated to reflect the addition of criminal checks for project staff.

2. There is only one staff person included in the budget. Please explain how other staff functions such as financial management and administrative support will be covered.

The budget and narrative have been updated to reflect contribution from additional United Way financial, program and administrative staff. We have also moved the original amount for indirect rates into a new SIF Financial Associate position which will be accountable for all financial reporting to CNCS and manage financial relationships with subgrantees.

As a key partner in the initiative, Strive is additionally investing staff time in support of this project. Since this is a third party, in-kind contribution it is not reflected in the budget. However, we estimate this investment as:

- * 5% of Executive Director's time @ \$9108 - work closely with United Way to manage process, staff Oversight Council, provide direction to Project Manager
- * 10% of Director of Operations time @ \$13,215 - assist with sub-granting process, manage contracts with contractors to provide capacity building.

After discussing concerns with CNCS program staff, the local partners decided that the best option was to have both the Project Manager and Financial Associate employed by and ultimately accountable to United Way. The Project Manager will work closely with Strive and United Way staff to lead the project, and will report project process to the proposed Oversight Committee.

3. Because the Corporation considers paid time off to be covered because the grant is paying the salary, we do not generally cover those costs as a separate benefit. Please justify its inclusion as a separate line item under benefits.

This was an error and has been corrected in the budget.

4. The budget includes a percentage for indirect costs. If you have a negotiated federal indirect cost rate with another federal agency, please send it to the Corporation. If you do

not have a negotiated indirect cost rate, please send your allocation plan or the calculation for the 25.7% in the budget narrative. Please also provide a calculation to show how you reached \$40,000 as a percentage of salaries and benefits.

We are no longer claiming any indirect costs.

2010 Social Innovation Fund
United Way of Greater Cincinnati
Section 3 – Budget

Greater Cincinnati Social Innovation Fund

United Way of Greater Cincinnati

Application ID: 10SI114801

Budget Dates: 08/01/2010 - 07/31/2015

	Total Amt	CNCS Share	Grantee Share
Section I. Program Costs			
A. Project Personnel Expenses	261,875	203,000	58,875
B. Personnel Fringe Benefits	29,842	24,243	5,599
FICA	9,899	7,650	2,249
Health Insurance	16,326	13,606	2,720
Retirement	2,538	2,000	538
Life Insurance	0	0	0
Total	\$58,605	\$47,499	\$11,106
C. Travel	8,310	7,000	1,310
D. Equipment			
E. Supplies	13,000	5,792	7,208
F. Contractual and Consultant Services	242,709	96,709	146,000
H. Other Costs	1,715,690	820,000	895,690
Subgrants	1,700,000	820,000	880,000
Total	\$3,415,690	\$1,640,000	\$1,775,690
Section I. Subtotal	\$4,000,189	\$2,000,000	\$2,000,189
Section II. Indirect Costs			
J. Federally Approved Indirect Cost Rate			
Indirect Costs	0	0	0
Total	\$0	\$0	\$0
Section II. Subtotal	\$0	\$0	\$0
Budget Totals	\$4,000,189	\$2,000,000	\$2,000,189
Funding Percentages		50%	50%
Required Match		n/a	
# of years Receiving CNCS Funds		n/a	

2010 Social Innovation Fund
United Way of Greater Cincinnati
Section 4 – Budget Narrative

Budget Narrative: Greater Cincinnati Social Innovation Fund for United Way of Greater Cincinnati

Section I. Program Costs

A. Project Personnel Expenses

Position/Title -Qty -Annual Salary -% Time	CNCS Share	Grantee Share	Total Amount
Year 1 - SIF Project Director: - 1 person(s) at 70000 each x 100 % usage	67,500	2,500	70,000
Year 1 - SIF Financial Associate: - 1 person(s) at 32500 each x 100 % usage	32,500	0	32,500
Year 1 - VP of Community Impact: - 1 person(s) at 150000 each x 5 % usage	0	7,500	7,500
Year 1 - Director of Community Impact: - 1 person(s) at 75000 each x 10 % usage	0	7,500	7,500
Year 1 - Director of Finance: - 1 person(s) at 70000 each x 10 % usage	0	7,000	7,000
Year 1 - Finance Associate: - 1 person(s) at 35000 each x 10 % usage	0	3,500	3,500
Year 1 - Administrative Assistant: - 1 person(s) at 28000 each x 5 % usage	0	1,400	1,400
Year 2 - SIF Director: - 1 person(s) at 72100 each x 100 % usage	69,525	2,575	72,100
Year 2 - SIF Financial Associate: - 1 person(s) at 33475 each x 100 % usage	33,475	0	33,475
Year 2 - VP of Community Impact: - 1 person(s) at 150000 each x 5 % usage	0	7,500	7,500
Year 2 - Director of Community Impact: - 1 person(s) at 75000 each x 10 % usage	0	7,500	7,500
Year 2 - Director of Finance: - 1 person(s) at 70000 each x 10 % usage	0	7,000	7,000
Year 2 - Finance Associate: - 1 person(s) at 35000 each x 10 % usage	0	3,500	3,500
Year 2 - Administrative Assistant: - 1 person(s) at 28000 each x 5 % usage	0	1,400	1,400
CATEGORY Totals	203,000	58,875	261,875

B. Personnel Fringe Benefits

Purpose -Calculation	CNCS Share	Grantee Share	Total Amount
FICA: 7.65% of salary	7,650	2,249	9,899
Health Insurance: Average cost to United Way for employee health insurance is \$566.88. The yearly cost for 12 months is 6,803.	13,606	2,720	16,326
Retirement: United Way contributes 2% of salary as a match on employee contributions to a 403(b) plan. The 2% would be applied to \$60,000 of salary.	2,000	538	2,538
Life Insurance:	0	0	0
Year 1 - Workers Comp and Unemployment Insurance: United Way's contribution for workers comp comes out to roughly .001468 of salary. There is a standard contribution of \$100 for unemployment insurance	348	43	391

Year 2 - Workers Compensation and Unemployment Insurance: Calculation is the same as year 1	348	43	391
Year 2 - FICA: 7.65% of salary. Differs from Year 1 to reflect 3% increase in project staff salaries	7,880	2,255	10,135
Year 2 - Health Insurance: Same as Year 1	13,606	2,720	16,326
Year 2 - Retirement: Same as Year 1, but reflect increase of 3% in project staff salary	2,061	538	2,599
CATEGORY Totals	47,499	11,106	58,605

C. Travel

Purpose -Calculation	CNCS Share	Grantee Share	Total Amount
Year 1 - Travel to national SIF meetings: Line item is calculated at just under \$1,200 per trip for three staff to travel to national meetings.	3,500	0	3,500
Year 1 - Local Travel: Mileage reimbursement of \$.50 per mile for 1310 (based on annual mileage of similar positions)	0	655	655
Year 2 - Travel to National Meetings: Same as Year 1	3,500	0	3,500
Year 2 - Local Travel: Same as year 1	0	655	655
CATEGORY Totals	7,000	1,310	8,310

D. Equipment

Item/Purpose -Qty -Unit Cost	CNCS Share	Grantee Share	Total Amount
CATEGORY Totals	0	0	0

E. Supplies

Item -Calculation	CNCS Share	Grantee Share	Total Amount
Year 1 - Subgrant materials: Printing of request for proposal, training materials, advertisements announcing funding availability and copying for proposal reviewers	0	2,500	2,500
Year 1 - Subgrantee training materials: Six Sigma materials for three day training = \$150 per organization X 13 organizations	896	1,104	2,000
Year 1 - Social Innovatin Network support materials: \$150 worth of supplies for 12 months of meetings per organization x 13 organizations	2,000	0	2,000
Year 2 - Subgrant Materials: Same as year 1	0	2,500	2,500
Year 2 - Subgrantee training materials: Same as Year 1	896	1,104	2,000
Year 2 - Subgrantee Network Support: Same as year 1	2,000	0	2,000
CATEGORY Totals	5,792	7,208	13,000

F. Contractual and Consultant Services

Purpose -Calculation	CNCS Share	Grantee Share	Total Amount
Year 1 - INNOVATIONS contract - evaluation and consulting: Based on similar contracts with INNOVATIONS in the past. Will include project and subgrantee level assistance. 23 hrs per week at varying levels of staff. 8 hrs per week at \$150 per hour and 15 hrs per week at \$50 per hour.	30,000	73,000	103,000
Year 1 - Institute for Nonprofit Capacity: Based on \$250 per day times 40 days of contract to provide general capacity building services for subgrantees	10,000	0	10,000
Year 1 - Strive Six Sigma Training and TA: Targeted TA for sub grantees = 40 hrs/(2 trainers at \$50/hour) = \$4000 Group training = 35 hrs/ (2 trainers at \$50/hour) = \$3500 2 hrs of coaching per grantee for 17 grantees at \$50/hour = \$1700 Addl coaching hrs -- 16 @15/hour = \$800	10,000	0	10,000
Year 2 - INNOVATIONS: Based on similar contracts with INNOVATIONS in the past. Will include project and subgrantee level assistance. 23 hrs per week at varying levels of staff. 8 hrs per week at \$150 per hour and 15 hrs per week at \$50 per hour.	30,000	73,000	103,000
Year 2 - Strive Six Sigma Training and TA: Targeted TA for sub grantees = 40 hrs/(2 trainers at \$50/hour) = \$4000 Group training = 35 hrs/ (2 trainers at \$50/hour) = \$3500 2 hrs of coaching per grantee for 17 grantees at \$50/hour = \$1700 Addl coaching hrs -- 16 @15/hour = \$800	10,000	0	10,000
Year 2 - INC: Calculation based on diminishing need for general capacity building from year 1 to year 2	6,709	0	6,709
CATEGORY Totals	96,709	146,000	242,709

H. Other Costs

Purpose -Calculation	CNCS Share	Grantee Share	Total Amount
Subgrants:	820,000	880,000	1,700,000
Year 1 - Telephone for grant staff:	0	2,235	2,235
Year 1 - Staff office/rent:	0	5,300	5,300
Year 1 - PC Maintenance Fees:	0	250	250
Year 1 - Criminal Checks:	0	120	120
Year 2 - Subgrants:	820,000	880,000	1,700,000
Year 2 - Telephone for grant staff:	0	2,235	2,235
Year 2 - Program staff office/rent:	0	5,300	5,300
Year 2 - PC Maintenance Fees:	0	250	250
CATEGORY Totals	1,640,000	1,775,690	3,415,690
SECTION Totals	2,000,000	2,000,189	4,000,189
PERCENTAGE	50%	50%	

Section II. Indirect Costs**J. Federally Approved Indirect Cost Rate**

Calculation -Cost Type -Rate -Rate Claimed -Cost Basis	CNCS Share	Grantee Share	Total Amount
: Salaries and Benefits: with a rate of 0 and a rate claimed of 0	0	0	0
CATEGORY Totals	0	0	0
SECTION Totals	0	0	0
PERCENTAGE	0%	0%	

BUDGET Totals	2,000,000	2,000,189	4,000,189
PERCENTAGE	50%	50%	

Source of Funds

Section	Match Description	Amount	Type	Source
Source of Funds	United Way of Greater Cincinnati	100,000	Cash	Private
	Greater Cincinnati Foundation	108,000	Cash	Private
	Carol Ann and Ralph V. Haile, Jr./U.S. Bank Foundation	100,000	Cash	Private
	P&G Fund (Procter and Gamble)	200,000	Cash	Private
	KnowledgeWorks Foundation	50,000	Cash	Private
Total Source of Funds		558,000		